



2-28-01

Pat seq Cal 1638

WD #710

PATENT

17133/02/US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

MAR 06 2001

TECH CENTER 1600/2900

IN RE APPLICATION OF

MIKE LASSNER, et al

GROUP ART UNIT: 1638

SERIAL NUMBER: 09/549,848

EXAMINER: A. NELSON

FILED: APRIL 4, 2000

DATE: FEBRUARY 27, 2001

TITLE: NUCLEIC ACID SEQUENCES INVOLVED IN TOCOPHEROL SYNTHESIS

RESPONSE TO NOTICE TO COMPLY

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Commissioner of Patents
and Trademarks
Washington, D.C. 20231

Sir:

In response to the Official Communication mailed on November 30, 2000, provided herein are a formatted Sequence Listing and a copy of the Sequence listing on computer readable form, and a petition for a 2 month extension of time.

- [X] Fee Transmittal
- [X] Sequence Listing
- [X] Diskette
- [X] Petition for Extension of Time

REMARKS

The content of the paper and computer readable forms submitted herewith are the same and include no new matter.

Applicants conditionally petition for an Extension of Time to provide for the timely filing of the enclosed corrected sheets, if an extension of time is required after all papers filed with this transmittal have been considered. The Commissioner is hereby authorized to charge any fees related to the filing of these documents to Charge No. 13-4125.

Respectfully submitted,

Brian K. Stierwalt
Patent Attorney
Registration No. 33,213
314-694-9092 St. Louis

I hereby certify that this correspondence is being deposited with United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks; Washington, D.C. 20231

Express Mail No.: EL698849152US

Name: Nicole M. Aencas

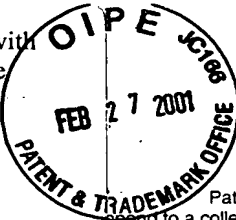
Date: 2/27/01

I hereby certify that this correspondence is being deposited with United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks; Washington, D.C. 20231

Express Mail No.: EL0984915248

Name: Nicole M. Mendall

Date: 2/27/01



PTO/SB/17 (10/96)
Approved for use through 09/30/98. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Send to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL

Complete if Known

Application Number	09/549,848
Filing Date	April 14, 2000
First Named Inventor	Michael Lassner
Group Art Unit	Not Assigned
Examiner Name	Not Assigned
Attorney Docket Number	17133/02/US

TOTAL AMOUNT OF PAYMENT (\$)390.00

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 13-4125
Deposit Account Name Monsanto Company

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.31(b)

2. ☐ Payment Enclosed:
☐ Check ☐ Money Order ☐ Other

FEE CALCULATION (fees effective 10/01/00)

1. FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$) _____

2. CLAIMS

Total Claims	Extra	Fee from below	Fee Paid
___ -20 =	___	X 18.00 =	___
Independent ___ - 3 =	___	X 80.00 =	___
Claims			

Multiple Dependent Claims = 0

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
109	80	209	40	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) _____

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920	112	920	Requesting publication of SIR prior to Examiner action	
113	1,840	113	1,840	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	390	216	195	Extension for response within second month	390.00
117	890	217	445	Extension for response within third month	
118	1,390	218	695	Extension for response within fourth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,240	241	620	Petition to revive unintentionally abandoned application	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	230	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	353	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify) _____
Other fee (specify) _____

SUBTOTAL (3) (\$) 390.00

* Reduced by Basic Filing Fee Paid

SUBMITTED BY

Typed or Printed Name Brian K. Stierwalt

Reg. Number 33,213

Signature [Signature]

Date February 27, 2000

Deposit Acct. User ID 13-4125

Complete (if applicable)

RECEIVED



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.
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09/549,848 04/14/00 LASSNER M 17133/02/US

CALGENE LLC
1920 FIFTH STREET
DAVIS CA 95616

HM22/1130

EXAMINER

NELSON, A

ART UNIT

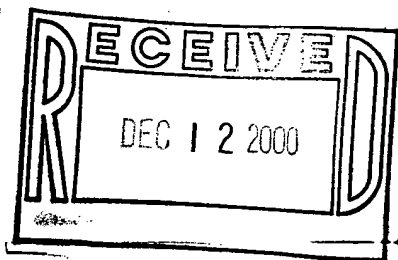
PAPER NUMBER

1436

5

DATE MAILED:

11/30/00



NTC. TO COMPLY/
SEQ. LISTING

Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks

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MAR 15 2001

TECH CENTER 1600/2900

(1) MONTH FOR
REPLY - EXTS. CAN
BE OBTAINED

POSTED
5/14/2000

Dr. House

(BKS)

A Brief Summary of Some Significant Rule Changes

*Unless otherwise specified in the rule, the effective date for the **PBG-FINAL RULE** is November 7, 2000.

Amendment Practice (37 CFR 1.121)-

- Specification/Claims
 - Amendment by paragraph replacement or rewritten claim in clean form
 - Marked-up version showing changes must be supplied

See § 1.121 Slides on **PBG-FINAL RULE** Webpage for suggested amendment **FORMAT** (Optional now; mandatory March 1, 2001)

Small Entity Status (37 CFR 1.27) - **FORMS NO LONGER REQUIRED** (Eff. Sept. 8, 2000):

- Mere written assertion (e.g., use check box on Application Transmittal Forms) is acceptable

Abstract and Title Length (37 CFR 1.72)

- Abstract now limited to 150 words (PBG)
- Title now limited to 500 characters (AIPA)

Application Data Sheet (ADS) (37 CFR 1.76) **NEW**

- Use of ADS encouraged for more accurate capture of bibliographic data. Data in ADS not needed in declaration.

After Allowance Practice (37 CFR 1.85(c) and 1.136)

- No extensions of time permitted to file corrected or formal drawings

Elimination of Issue Fee Preauthorizations (37 CFR 1.311)

- Preauthorizations prior to Notice of Allowance no longer permitted

Rocket Docket Established for Designs (37 CFR 1.155)

- Extra submissions plus \$900 fee is required

Proof of Authority of Legal Representative (37 CFR 1.44)

THIS RULE HAS BEEN DELETED. (Eff. Sept. 8, 2000):

- Oath/Dec. (§1.63) should identify legal rep for deceased/incapacitated inventor

Parts of Applications on CD-R or CD-ROM (37 CFR 1.52 (e), 1.58, 1.96 & 1.821)

- Large tables, computer program listings, and bio-sequences now allowed on CD

Patent Business Goals Final Rule

65 Fed. Reg. 54604 (September 8, 2000)

1238 Off. Gaz. Pat. Office 77 (September 19, 2000)



USPTO's **PBG-FINAL RULE** webpage has helpful related information at one location:
<http://www.uspto.gov/web/offices/dcom/olia/pbg/index.html>

This site includes:
a Listing of Affected Rules,
Training & Implementation
Materials including Training
Slides, Q & A's, Summaries,
Effective Date Chart, Forms
Changed by Recent Rules, etc.

Contact:

Bob Spar (703) 308-5107 or
Hiram Bernstein (703) 305-8713
for any PBG Change.

Joe Narcavage (703) 305-1795
for 37 CFR 1.121
Amendment Practice Changes

Eugenia Jones (703) 306-5586
for 37 CFR 1.27 Small Entity
Changes



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

SERIAL NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO.
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EXAMINER

ART UNIT	PAPER NUMBER
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5

DATE MAILED:

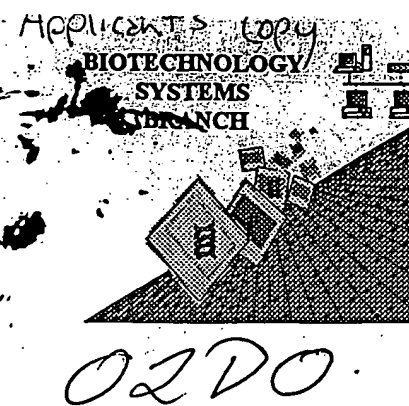
Please find below a communication from the EXAMINER in charge of this application.

Commissioner of Patents

1. This application contains sequence disclosures that are encompassed by the definitions for nucleotide and/or amino acid sequences set forth in 37 CFR 1.821(a)(1) and (a)(2). However, this application fails to comply with the requirements of 37 CFR 1.821 through 1.825 for the reason(s) set forth on the attached Notice To Comply With Requirements For Patent Applications Containing Nucleotide Sequence And/Or Amino Acid Sequence Disclosures.

Applicant is given ONE MONTH, or THIRTY DAYS, whichever is longer, from the date of this letter within which to comply with the sequence rules, 37 CFR 1.821 - 1.825. Failure to comply with these requirements will result in ABANDONMENT of the application under 37 CFR 1.821(g). Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). In no case may an applicant extend the period for response beyond the SIX MONTH statutory period. Direct the response to the undersigned. Applicant is requested to return a copy of the attached Notice to Comply with the response.

RAW SEQUENCE LISTING ERROR REPORT



The Biotechnology Systems Branch of the Scientific and Technical Information Cent (STIC) detected errors when processing the following CRF diskette:

Application Serial Number: 09/549,848
Art Unit / Team No. : 01PE
Date Processed by STIC: 4/28/2000

THE ATTACHED PRINTOUT EXPLAINS THE ERRORS DETECTED.

PLEASE BE SURE TO FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:

- 1) INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANTS ALONG WITH A NOTICE TO COMPLY or,
- 2) CALLING APPLICANTS AND FAXING THEM A COPY OF THE PRINTOUT WITH A NOTICE TO COMPLY

THIS WILL INSURE THAT THE NEXT SUBMISSION RECEIVED FROM THE WILL BE ERROR FREE.

IF YOU HAVE ANY FURTHER QUESTIONS, PLEASE CALL:

MARK SPENCER 703-308-4212

OIPE

RAW SEQUENCE LISTING DATE: 05/04/2000
 PATENT APPLICATION: US/09/549,848 TIME: 15:30:39

Input Set : A:\Seqlist.txt
 Output Set: N:\CRF3\05042000\I549848.raw

4 <110> APPLICANT: Lassner, M
 5 Post-Beittenmiller, D
 6 Savidge, B
 7 Weiss, J
 9 <120> TITLE OF INVENTION: Nucleic Acid Sequences Involved in
 10 Tocopherol Synthesis
 12 <130> FILE REFERENCE: 17133/02
 14 <140> CURRENT APPLICATION NUMBER: US/09/549,848
 14 <141> CURRENT FILING DATE: 2000-04-14
 14 <150> PRIOR APPLICATION NUMBER: 60/129,899
 15 <151> PRIOR FILING DATE: 1999-04-15
 17 <150> PRIOR APPLICATION NUMBER: 60/146,461
 18 <151> PRIOR FILING DATE: 1999-07-30
 20 <160> NUMBER OF SEQ ID NOS: 94
 22 <170> SOFTWARE: FastSEQ for Windows Version 4.0

ERRORED SEQUENCES

1599 <210> SEQ ID NO: 90
 E--> 1600 <211> LENGTH: 0
 1601 <213> ORGANISM: Artificial Sequence
 1603 <400> SEQUENCE: 90
 1604 gaattcactt caaaaaaggt aacag

(mandatory response)

see item 12 on Error Summary Sheet
 Does Not Comply
 Corrected Diskette Needed
 254 - insert
 cumulative base total at right margin
 of each line

GET
FILE

✓ FYI

Please Note:

Use of n and/or Xaa have been detected in the Sequence Listing. Please review the Sequence Listing to ensure that a corresponding explanation is presented in the <220> to <223> fields of each sequence which presents at least one n or Xaa.